INSTRUCTIONS FOR COMPLETING DISCLOSURE OF
OWNERSHIP AND CONTROL INTEREST STATEMENT (MO580-2145)

Completion and submission of this form is required for certification, recertification, and/or state licensure for any home health agency, hospice, outpatient physical therapy/speech therapy provider, or comprehensive outpatient rehabilitation facility.

<table>
<thead>
<tr>
<th>General Instructions</th>
<th>Detailed Instructions</th>
</tr>
</thead>
<tbody>
<tr>
<td>For definitions, procedures and requirements, refer to the appropriate Regulations:</td>
<td></td>
</tr>
<tr>
<td>Title XVIII - 42CFR 420.200-206</td>
<td></td>
</tr>
<tr>
<td>Title XIX - 42CFR 455.100-106</td>
<td></td>
</tr>
<tr>
<td>Title XX - 42CFR 228.72-23</td>
<td></td>
</tr>
</tbody>
</table>

Please answer all questions as of the current date. If the yes block for any item is checked, list requested additional information under the Remarks Section, referencing the item number to be continued. If additional space is needed use an attached sheet.

Return this original to the State agency; retain a copy for your files.

**Items I-VII – Changes in Provider Status**

**Item I** - Under identifying information specify in what capacity the entity is doing business as (DBA), example, name of trade or corporation.

**Item II** – Self-explanatory

**Item III** – List the names of all individuals and organizations having direct or indirect ownership interests, or controlling interest separately or in combination amounting to an ownership interest of 5 percent or more in the disclosing entity.

Direct ownership interest is defined as the possession of stock, equity in capital or any interest in the profits of the disclosing entity. A disclosing entity is defined as a Medicare provider or state licensed provider, or supplier, or other entity that furnishes services or arranges for furnishing services under Medicaid or the Maternal and Child Health program, or health related services or arranges for furnishing services under Medicaid or the Maternal and Child Health program, or health related services under the social services program.

Indirect ownership interest is defined as ownership interest in an entity that has direct or indirect ownership interest in the disclosing entity. The amount of indirect ownership in the disclosing entity that is held by any other entity is determined by multiplying the percentage of ownership interest at each level. An indirect ownership interest must be reported if it equates to an ownership interest of 5 percent or more in the disclosing entity. Example: if A owns 10 percent of the stock in a corporation that owns 80 percent of the stock of the disclosing entity, A's interest equates to an 8 percent indirect ownership and must be reported.

Controlling interest is defined as the operational direction or management of a disclosing entity which may be maintained by any or all of the following devices: the ability or authority, expressed or reserved, to amend or change the corporate identity (i.e., joint venture agreement, unincorporated business status) of the disclosing entity; the ability or authority to nominate or name members of the Board of Directors or Trustees of the disclosing entity; the ability or authority, expressed or reserved, to amend or change the by-laws, constitution, or other operating or management direction of the disclosing entity; the right to control any or all of the assets or other property of the disclosing entity upon the sale or dissolution of that entity; the ability or authority, expressed or reserved, to control the sale of any or all of the assets, to encumber such assets by way of mortgage or other indebtedness, to dissolve the entity, or to arrange for the sale or transfer of the disclosing entity to new ownership or control.

**Item IV** – (a) & (b) If there has been a change in ownership within the last year or if you anticipate a change, indicate the date in the appropriate space. A sale of stock that changes the majority controlling interest (50.1%) is considered a change of ownership for state licensure purposes.

**Item V** – If the answer is yes, list name of the management firm and employer identification number (EIN), or the name of the leasing organization. A management company is defined as any organization that operates and manages a business on behalf of the owner of that business, with the owner retaining ultimate legal responsibility for operation of the facility.

**Item VI** – If the answer is yes, identify which has changed (Administrator, Medical Director, or Director of Nursing) and the date the change was made. Be sure to include name of the new Administrator, Director of Nursing or Medical Director, as appropriate.

**Item VII** – A chain affiliate is any free-standing health care facility that is either owned, controlled, or operated under lease or contract by an organization consisting of two or more free-standing healthcare facilities organized within or across State lines which is under the ownership or through any other device, control and direction of a common party. Chain affiliates include such facilities whether public, private, charitable or proprietary. They also include subsidiary organizations and holding corporations. Provider-based facilities, such as hospital-based home health agencies, are not considered to be chain affiliates.